

Check Before You Invest

Before investing, have the person offering products/services **complete** this form, **sign** it, and **return** it to you. **Verify** both the person and company are **licensed** and **authorized** to sell/offer the specific type of product, by **contacting** the appropriate licensing agency (see reverse side for agency contact information). **Keep** the completed form for your records.

Seller/Agent and Company Information (please print clearly)

Seller/Agent Name _____

Company/Business Name _____

Company/Business Address _____

Phone Number(s) _____ Email _____

✓ I am offering the following product(s) and/or services (check all that apply)

- | | | | |
|---|---|---|--|
| <input type="checkbox"/> Investment | <input type="checkbox"/> Securities | <input type="checkbox"/> Mutual Funds | <input type="checkbox"/> IRAs |
| | <input type="checkbox"/> Private Placements | <input type="checkbox"/> Oil & Gas/Minerals | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Financial Planning | <input type="checkbox"/> Investment Advice | <input type="checkbox"/> Financial Planning | <input type="checkbox"/> Wealth Creation |
| <input type="checkbox"/> Insurance | <input type="checkbox"/> Life | <input type="checkbox"/> Annuities | <input type="checkbox"/> Viaticals |
| | <input type="checkbox"/> Other _____ | | |
| <input type="checkbox"/> Real Estate | <input type="checkbox"/> Refinance | <input type="checkbox"/> Reverse Mortgage | <input type="checkbox"/> Equity Loan |
| | <input type="checkbox"/> Investment (specify) _____ | | |
| <input type="checkbox"/> Legal Services | <input type="checkbox"/> Wills | <input type="checkbox"/> Living Trust | <input type="checkbox"/> Estate Planning |
| | <input type="checkbox"/> Other _____ | | |
| <input type="checkbox"/> Accounting | <input type="checkbox"/> Tax Preparation | <input type="checkbox"/> Other _____ | |
| <input type="checkbox"/> Contractor Services | <input type="checkbox"/> Home Repair | <input type="checkbox"/> Remodeling | <input type="checkbox"/> Other _____ |

✓ I am currently licensed by

- | | |
|---|----------------------|
| <input type="checkbox"/> CA Department of Corporations | CRD #: _____ |
| <input type="checkbox"/> CA Department of Corporations | IARD/CRD #: _____ |
| <input type="checkbox"/> CA Department of Insurance | License #: _____ |
| <input type="checkbox"/> CA Department of Real Estate | DRE License #: _____ |
| <input type="checkbox"/> CA State Bar Association | State Bar #: _____ |
| <input type="checkbox"/> CA Board of Accountancy | CPA License #: _____ |
| <input type="checkbox"/> CA State Contractors Licensing Board | License #: _____ |
| <input type="checkbox"/> Other | License #: _____ |

✓ I certify that I am making these representations truthfully in order to do business with you.

Signature _____ Date _____



Before Investing or Getting Advice

have the person offering products/services complete this form, sign it, and return it to you.



Verify

both the salesperson/advisor and their company are licensed and authorized to sell/offer the specific type of product. Remember to keep this completed form for your records.



Contact

the appropriate California licensing agency below (or call the California Department of Corporations for referral to other agencies.)

CA Department of Corporations	Toll-Free 1-866-ASK-CORP (1-866-275-2677) TTY 1-800-735-2922 Website www.corp.ca.gov
CA Department of Insurance	Toll-Free 1-800-927-HELP (1-800-927-4357) Website www.insurance.ca.gov
CA Department of Real Estate	Fresno (559) 445-5009 Los Angeles (213) 620-2072 Oakland (510) 622-2552 San Diego (619) 525-4192 Website www.dre.ca.gov
State Bar of California	License verification & complaints Toll-Free 1-800-843-9053 Senior Information Hotline Toll-Free 1-888-460-7364 Website www.calbar.ca.gov
CA Board of Accountancy	Sacramento (916) 263-3680 Website www.dca.ca.gov/cba
CA State Contractors Licensing Board	Toll-Free 1-800-321-2752 Website www.cslb.ca.gov